



Please type a plus sign (+) inside this box →

Approved for use through 09/30/2000. OMB 0651-0331  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/21 (6-98)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

+ RECEIVED  
U.S. PATENT & TRADEMARK OFFICE  
MAIL ROOM

27 E  
Sector  
2784

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

14

Application Number

09/497,272

Filing Date

February 3, 2000

First Named Inventor

David W. LaFere, et al.

Group Art Unit

Examiner Name

Attorney Docket Number

J99.10

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Letter Re:Notice of Missing Parts of Non-Provisional Application and copy of the same Copies of previously filed documents (2/22/00) - Transmittal Form; Checks for \$40.00 & \$65.00; Declaration and Power of Atty-;
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Small Entity Stmt. - Lafore; Small Entity Stmt. - Brennan; Assignment and Assign. Cover Sheet; Return postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Brent P. Johnson Fields & Johnson, P.C.
Signature	
Date	June 12, 2000

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 6/12/00

Typed or printed name	Virginia A. Sawatzke		
Signature		Date	6/12/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of )  
David W. LaFore et al. )  
Serial No.: 09/497,272 )  
Filed: February 3, 2000 )  
For: "Data Processing System )  
and Method for Managing )  
Broker Transaction )  
Information" )

**LETTER RE: NOTICE OF**  
**MISSING PARTS OF NON-**  
**PROVISIONAL**  
**APPLICATION**

JUN 27 2000

TC 2700 MAIL ROOM

RECEIVED

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington,

D.C. 20231, on June 12/2000

(Date of Deposit)

Virginia A. Saunthe

Name of applicant, assignee, or Registered Rep.

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir/Madam:

This is responsive to the Notice to Missing Parts of Non-Provisional Application dated April 28, 2000, a copy of which is enclosed. Also enclosed please find copies of the following documents filed in the U.S. Patent Office on February 22, 2000, in connection with the above-identified application:

1. Transmittal Form;
2. Check for \$40.00 (Assignment Recordation Fee) and Check for \$65.00 (Late Filing Declaration Surcharge);
3. Declaration for Utility or Design Patent Application;
4. Recordation From Cover Sheet - Patents Only;
5. Assignment;
6. Statement Claiming Small Entity - Independent Inventor executed by Kyle L. Brennan (co-inventor);

7. Statement Claiming Small Entity - Small Business Concern executed by David W. LaFore (co-inventor); and
8. Return postcard received by the U.S. Patent Office on February 22, 2000.

Applicant has made a sincere effort to fully respond to the Notice to Missing Parts of Non-Provisional Application. Therefore, it is respectfully requested that the Notice to Missing Parts of Non-Provisional Application be withdrawn and examination of the application commence.

Respectfully submitted,

FIELDS & JOHNSON, P.C.



---

Gary D. Fields  
Brent P. Johnson  
Attorneys for Applicants  
8480 East Orchard Road, Suite 5600  
Englewood, CO 80111  
(303) 689-9100

Date: 6/12/00

## FORMALITIES LETTER

  
\*OC00000005083954\*



## UNITED STATES DEPARTMENT OF COMMERCE

## Patent and Trademark Office

Address: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
--------------------	---------------------	-----------------------	------------------------

09/497,272

02/03/2000

David W. Lafore

J99-10 JUN 27 MA

RECEIVED  
MAY 10 2000

Date Mailed: 04/28/2000

Brent P Johnson  
Fields & Johnson PC  
8480 East Orchard Road  
Suite 5600  
Englewood, CO 80111

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY

O I P E JUN 15 2000  
PATENT & TRADEMARK OFFICE

Please type a plus sign (+) inside this box →

Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

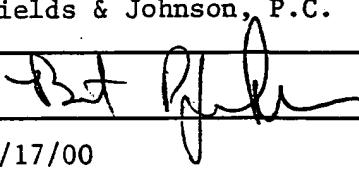
8

Application Number	09/497,272
Filing Date	2/3/00
First Named Inventor	David W. LaFore, et al
Group Art Unit	
Examiner Name	
Total Number of Pages in This Submission	8 Attorney Docket Number
	J99.10

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input checked="" type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input checked="" type="checkbox"/> Small Entity Statements (2)  <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):  <p><i>Check - \$40.00 for recording assignment check - \$65.00 for surcharge, late filing of oath &amp; Declaration</i></p>
--	--	---

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Brent P. Johnson Fields & Johnson, P.C.
Signature	
Date	2/17/00

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	Katherine L. Goncalves
Signature	
Date	2/17/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**FIELDS AND JOHNSON, P.C.**

(303) 689-9100

8480 EAST ORCHARD ROAD, SUITE 5600  
ENGLEWOOD, COLORADO 80111

23-101 / 1020

DATE	INVOICE	AMOUNT
Re: Assignment for Pat App SN 09/497,272 for "Data Processing System" filed 10/20/98; 399.10 Oct no.		

No 11058

DATE 2/17/00

Dollars \$ 40.00

Pay

Forty  $\frac{00}{00}$ TO  
THE ORDER  
OFAssistant Commissioner  
for PatentsBANK ONE, COLORADO, N.A.  
Denver, ColoradoVirginia A. Sawatzke

#011058# 1020010171 1200270740#

**FIELDS AND JOHNSON, P.C.**

(303) 689-9100

8480 EAST ORCHARD ROAD, SUITE 5600  
ENGLEWOOD, COLORADO 80111

23-101 / 1020

DATE	INVOICE	AMOUNT
Re: Late filing of Declaration Surcharge for Data Processing System SN 09/497,272 filed 10/20/98		

No 11057

DATE 2/17/00

Dollars \$ 105.00

Pay

Sixty Five  $\frac{00}{00}$ TO  
THE ORDER  
OFAssistant Commissioner  
for PatentsBANK ONE, COLORADO, N.A.  
Denver, ColoradoVirginia A. Sawatzke

#011057# 1020010171 1200270740#



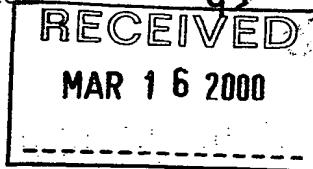
February 17, 2000

RE: U.S. Patent Application Serial No. 09/497,272 Entitled  
"Data Processing System and Method for Managing Broker  
Transaction Information" to David W. LaFore, et al.;  
Docket No. J99.10

Enclosed herewith for filing:

- (x) Transmittal form
- (x) Two (2) Statements Claiming Small Entity, Independent Inventor, and Small Business Concern
- (x) Assignment
- (x) Recordation Form Cover Sheet
- (x) Check for \$65.00
- (x) Check for \$40.00
- (x) Return postcard
- (x) Declaration

/kg



RECEIVED

JUN 27 2000

FC 2700 MAIL ROOM

65